

**Department of Alcohol and Drug Programs  
Office of Criminal Justice Collaboration**

**Substance Abuse and Crime Prevention Act of 2000 (SACPA)**  
**GUIDE**  
**to the**  
**Preparation, Submission, and Review of the**  
**Fiscal Year 2003–04 COUNTY PLAN**

This document is a guide for counties to use in preparing and submitting their county plans under the Substance Abuse and Crime Prevention Act of 2000 (SACPA). The guide describes some of the criteria the Office of Criminal Justice Collaboration (OCJC) will use in the review and approval of your plan. Counties that use these criteria in preparing their plans should minimize the additional information OCJC may need to request during the review process.

County plans are due May 1 annually. Plans are submitted through the online SACPA Reporting Information System (SRIS) developed by the Department of Alcohol and Drug Programs (ADP). To access this system, go to the SACPA home page at <http://www.adp.ca.gov/SACPA/prop36.shtml> and click on SACPA Reporting Information System and then Input/Review County Data. For assistance in using SRIS, click on System Documentation and then User Manual.

You will need a user name and password to enter your county information. If you do not have one, complete the User ID Request Form available online at the SACPA Reporting Information System page under System Documentation. Send the completed form via FAX to OCJC at (916) 327-7308. If you have a user name and need a new password, please contact our ADP Help desk at (916) 327-3010.

*Sections cited in this document refer to Chapter 2.5 (commencing with §9500), Division 4, Title 9, California Code of Regulations (CCR). County SACPA plans are submitted pursuant to Section 9515. For regulations see <http://www.adp.ca.gov/SACPA/regindex.shtml>.*

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<b>Part IV</b>	<b>Projected Expenditures, Capacity Projections, and Client Projections</b> Under this heading, the county enters data showing its projected expenditures, capacity, and client counts for Fiscal Year 2003-04. There are four sections:  <b>Entity Plan (Expenditures by Entity)</b> <b>Service/Activity Plan (Expenditures by Service/Activity)</b> <b>Capacity Projections</b> <b>Client Projections</b>
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<b>Exhibit A</b>	Narrative Description Template

## Part I

### Fiscal Year Set Up

#### Fiscal Year Selection

The first step is to select the 2003/04 fiscal year. Carryover funds must be entered at the SRIS "FISCAL YEAR SET UP" screen. If the county estimates it will have no carryover, then the county must enter a zero at the SRIS "Fiscal Year Set Up" screen. If further assistance is needed, please refer to the SRIS User Manual.

## Part II

### Plan Questions

This part is a series of questions that summarize the county's SACPA program. It is to be completed using the Plan Questions in the County Plan section of SRIS.

1. Is the county board of supervisors approval, or are the written board of supervisors delegation (by a written resolution, delegation of approval authority or order) and the county lead agency plan approval attached? [ref: §9515 (b)(3)]

☐ Yes

☐ No (expected date of approval: \_\_\_\_\_)

Review Note: If approval is not included and the "expected by" date is not shown, the OCJC county liaison will contact the county to ascertain the "expected by" date. The plan cannot be approved until this requirement is met.

2. Check the county agencies and other entities involved in developing the county plan. (Check all that apply) [ref. §9515(b)(2)]

#### **REQUIRED**

- ☐ County alcohol and other drug agency
- ☐ Court
- ☐ Parole Authority
- ☐ Probation Department

#### **OPTIONAL**

- ☐ County executive office
- ☐ County mental health
- ☐ County office of education
- ☐ County public health
- ☐ County social services
- ☐ District attorney
- ☐ Police department
- ☐ Sheriff
- ☐ Workforce investment board
- ☐ Other (specify) \_\_\_\_\_

Review Note: Input from the four required sources must be documented by a check mark, or their absence must be adequately explained. Counties should designate other impacted community parties that collaborated in the development of this county plan. [ref: §9515 (b)(2)]

3. Check the impacted community parties that collaborated in the development of this county plan. [ref: §9515 (b)(2)]

**REQUIRED**

- ☐ Providers of drug treatment services in the community
- ☐ Representatives of drug treatment associations in the community

**OPTIONAL** (Check all that apply)

- ☐ Civic groups
- ☐ Clients/Client groups
- ☐ Colleges and universities
- ☐ Local business representatives
- ☐ Non-profit organizations
- ☐ Parent Teacher Group/Parent Teacher Association
- ☐ Workforce Investment Board
- ☐ Youth organizations
- ☐ Other (specify)\_\_\_\_\_

Review Note: Input from the two required sources must be documented by a check mark, or their absence must be adequately explained. If there are no provider associations in the county, OCJC will request further information on how provider input was received.

4. How was community input collected? [ref: §9515(b)(2)]

- ☐ Community meetings
  - ☐ County advisory groups
  - ☐ Focus groups
  - ☐ Other method(s) (explain briefly)
- \_\_\_\_\_

Review Note: One or more of the types of community input must be checked.

5. If there are federally recognized American Indian tribe(s) located within your county, did they provide input to the development of this county plan? [ref: §9515(b)(2)]

- ☐ Yes (required if such tribes are located in your county)
- ☐ No federally recognized American Indian tribe(s) in the county

If there are one or more American Indian tribes located in the county, the county must provide the tribe(s) opportunity for input. If the narrative section of the plan does not describe how input was obtained, OCJC will request further information from the county.

6. During this fiscal year, how often did entities and impacted community parties meet to develop this county plan. [ref: §9515(b)(2)(A)]

- ☐ 1-2 times
- ☐ 3-4 times
- ☐ 5 or more times

Review Note: The county's response must apply to planning activities conducted during FY 2002-03 for the FY 2003-04 plan year.

7. Specify how often entities and impacted community parties will meet during the implementation of this plan to continue ongoing coordination of services and activities. [ref: §9515(b)(2)(A) and 9520(a)]

- ☐ Every three months (Minimum required)
- ☐ 5-8 times
- ☐ 9 or more times

Review Note: This question applies to FY 2003-04. If fewer than four are scheduled, OCJC cannot approve the plan.

8. What services will be available to SACPA clients under this county plan?  
[ref: §9515(b)(2)(B); and Penal Code §1210.1(c) and §3063.1(c)]

*(Check all that apply)*

- ☐ Drug treatment
- ☐ Family counseling
- ☐ Literacy training
- ☐ Mental health
- ☐ Vocational training
- ☐ Other (specify) \_\_\_\_\_

Review Note: This question applies to FY 2003-04. Drug treatment is required, and the county must make other services available to meet clients' assessed needs. If the absence of these services is not explained in the narrative, OCJC will request additional information from the county.

9. Identify the entity(ies) responsible for determining a SACPA client's level of need for, and placement in drug treatment. [ref: §9515(b)(2)(C)]

- ☐ County alcohol and other drug agency
- ☐ Drug treatment provider(s)
- ☐ Probation department
- ☐ Other (specify) \_\_\_\_\_

Review Note: At least one response must be checked.

10. Identify the entity(ies) responsible for determining a SACPA client's level of need for and placement in additional services supplemental to treatment. [ref: §9515(b)(2)(C)]

- ☐ County alcohol and other drug agency
- ☐ Drug treatment provider(s)
- ☐ Probation department
- ☐ Other (specify) \_\_\_\_\_

Review Note: At least one response must be checked.

11. What assessment tools will be used in your county for SACPA clients? [ref: §9515(b)(2)(C)]

- ☐ ASI (Addiction Severity Index)
- ☐ ASAM PPC (American Society of Addiction Medicine Patient Placement Criteria)
- ☐ Other (specify) \_\_\_\_\_

Review Note: One or more assessment tools must be designated.

12. Will drug testing be required for SACPA clients in your county? [ref: §9515(b)(3)(A)]

- ☐ Yes
- ☐ No

13. What non-SATTA sources of funds, if any, will be used to pay for drug testing? [ref: §9530(i)]

*(Check all that apply. Do not include funds provided under the Substance Abuse Treatment and Testing Accountability [SATTA] program.)*

- ☐ Client fees
- ☐ Additional funds budgeted by the county
- ☐ Other (specify) \_\_\_\_\_

14. Has there been a change in the Lead Agency designation?  
(Check one)

- ☐ Yes
- ☐ No

## PART III

### PLAN DESCRIPTION

In this part of the plan, the county must describe certain of its SACPA implementation policies, procedures, and activities. The county may download the template from the SACPA Reporting Information System (SRIS), enter the necessary description in the spaces provided using Microsoft Word, and upload the new document to SRIS. The template (Exhibit A of this guide) is available electronically in Microsoft Word on the SACPA web site at <http://www.adp.ca.gov/SACPA/prop36.shtml>. Click on All County Lead Agency Letters and look for this Guide and Exhibit A attached to this ACLA.

#### General Review Notes:

- Number responses to each item to correspond with the outline.
- Numbers (e.g., dollars, capacities, clients, drug tests) used in the narrative description must be consistent with the numbers that appear in Part IV, “Projected Expenditures, Capacity Projections, and Client Projections.” If the numbers do not correlate, OCJC will contact the county to resolve any inconsistencies.
- Make sure you keep an electronic copy of your plan description. After ADP reviews your plan description, you may need to make additions. To revise your description, make the changes on your electronic version, then go to SRIS and delete the uploaded version, then upload your new version to SRIS.

### **Narrative Description Outline**

- 1. Collaborative Process.** Describe the collaborative process used during the current fiscal year to plan services. Describe how county entities, community parties, and others participated in the development of this plan. [ref: §9515(b)(2)(A)]

Review Note: The county’s response should be sufficiently detailed to show the participants, processes, and frequency of meetings. The process should be specific to the FY 2003-04 county plan.

- 2. Client Flow and Case Management.** Describe the client flow and case management activities (referral, assessment, placement, court monitoring, supervision, etc.). The description should include the process for referral of parolees as well as referrals from court/probation. A flow chart may be included. [ref: §9515(b)(2)(E)]

Review Note: The response should detail how case management activities are conducted for SACPA offenders. The process must be described for both probationers and parolees. OCJC will compare the number of clients projected for referral in the client projection portion of this plan with those of the previous year. If there is a significant difference, the narrative will be checked to determine the reason(s). If there is no explanation OCJC will contact the county.

- 3. Treatment Goals.** Describe the county's treatment goals for SACPA clients.  
[ref: §9515(b)(2)(E)]

Review Note: The county should describe what treatment goals, objectives, and outcomes the county seeks to accomplish under this county plan.

- 4. Treatment and Aftercare Services.** Describe the types of treatment and aftercare services (e.g., Level 1, 2, 3, 4; outpatient, residential; narcotic replacement therapy; etc.) to be provided. Describe the types of treatment providers and the services they will provide. (Names and descriptions of individual providers are not required.)  
[ref: §9515(b)(2)(B)]

Review Note: Describe the levels and/or types of treatment. OCJC will compare the number of services projected in the capacity projection portion of this plan with those of the previous year. If there is a significant difference, the narrative will be checked to determine the reason(s). If narcotic replacement therapy (NRT) is not offered under the county plan, provide an explanation. If there is no explanation, OCJC will contact the county.

- 5. Treatment Assessment Process.** Describe the assessment process that will be used to determine clients' level of need for drug treatment. [ref: §9515(b)(3)(B)]
- 6. Additional Services.** Describe the types of additional services supplemental to treatment (e.g., vocational training, literacy training, family counseling, etc.) to be provided under this plan, and list the providers of these services.  
[ref: §9515(b)(2)(E)]

Review Note: If treatment providers provide these services, the county should include such information in its narrative description. If this is the case, treatment providers do not have to be listed. OCJC will compare the number of other services projected in the capacity projection portion of this plan with those of the previous year. If there is a significant difference, the narrative will be checked to determine the reason(s). If there is no explanation OCJC will contact the county.

- 7. Additional Services Assessment Process.** Describe the assessment process that will be used to determine clients' level of need for additional services supplemental to treatment? [ref: §9515(b)(3)(B)]

Review Note: The county should describe whether the counties or the treatment provider(s) conduct the assessment for additional services.

- 8. Coordination of Services/Case Management.** Describe how the county will coordinate the provision of services and conduct case management activities.  
[ref: §9515(b)(2)(A)]
- 9. Assurance of Meeting Clients' Assessed Needs.** Describe the process the county will use to assure that clients receive drug treatment and other services as determined by their individual assessments. [ref: 9515(b)(3)(E)]



- 10. Quality of Treatment Services.** Describe the criteria the county will use to monitor and enforce the quality of treatment services. If treatment services are provided by contract, what additional tools are available to the county through contract enforcement to monitor and enforce the quality of services? [ref: §9515(b)(3)(C)]

Review Note: Counties that provide treatment services directly should describe their quality assurance standards. Counties that provide services through contracts should describe contract requirements and monitoring activities they employ to assure quality of services.

- 11. Quality of Additional Services.** Describe the criteria the county will use to monitor and enforce the quality of additional services supplemental to treatment. If additional services are provided by contract, what additional tools are available to the county through contract enforcement to monitor and enforce the quality of those additional services? [ref: §9515(b)(3)(C)]

Review Note: Counties that provide additional services directly should describe their quality assurance standards. Counties that provide additional services through contracts should describe contract requirements and oversight activities to assure quality of services.

- 12. Drug Testing: A Treatment Tool.** Describe the county's policies and guidelines for drug testing of SACPA clients to assure that drug testing is used as a treatment tool. [ref: §9515(b)(3)(D)]

- 13. Drug Testing and Individual Treatment Plan.** Describe how drug testing using Substance Abuse Treatment and Testing Accountability (SATTA) Program funds will be part of each client's individual treatment plan. [ref: §9515(b)(2)(D)&(E)]

- 14. Drug Testing Type and Frequency.** Describe the types and frequency of drug testing. [ref: §9515(b)(3)(A)]

- 15. Recipients of Drug Testing Results.** Name the entities or agencies that will receive the results of SATTA drug testing.

- 16. Use of Drug Testing Results.** Describe how these entities or agencies will use these drug testing results and the consequences or results of negative drug tests to individual clients. [ref: §9515(b)(3)(D)]

Review Note: An example statement from an approved county plan, "Other factors, in addition to results of drug testing, will be used by the treatment team to evaluate a participant's progress. These include compliance with other requirements of the treatment plan and improvements in other aspects of a participant's life such as employment and family life."

- 17. Evaluation of Client Progress.** Describe what aspects of the client's treatment program, in addition to the results of drug testing, will be considered in evaluating a client's progress in treatment? [ref: §9515(b)(3)(D)]

Review Note: The county must describe aspects, in addition to drug testing, that treatment providers will consider in evaluating a client's progress in treatment. Drug testing alone may not be used to measure client progress. OCJC will request additional information if no other aspects of treatment are described.

**18. Client Fee Assessment.** Describe the county's procedure for ensuring that its SACPA treatment providers assess client fees. [ref: §9532(b)]

Review Note: A client fee assessment procedure is required. If the procedures are not described, OCJC will request additional information.

## PART IV

### PROJECTED EXPENDITURES, CAPACITY PROJECTIONS, AND CLIENT PROJECTIONS

Data entry forms for the following sections of the plan are available on the SRIS website.

- Entity Plan
- Service/Activity Plan
- Capacity Projections
- Client Projections

#### **General Review Notes**

**Allocation of Planned Expenditures.** OCJC will review how planned expenditures are allocated to a particular column or category. If the county's planned expenditures exceed more than 50% of the total funds in any single category, provide an explanation in the narrative section. If an explanation is not provided, OCJC will contact the county.

**Administrative Activities.** If a county enters a dollar amount that is more than 20%, provide an explanation in the narrative section. If an explanation is not provided, OCJC will contact the county.

#### **Definitions**

**Administrative Activities.** Administrative activities are those that occur for a common or joint purpose. Administrative activities include general administration, planning and policy development, budgeting, accounting, personnel, business services, management analysis, training and legal. The costs of these activities are distributed to specific client service and case management activity functions based upon an equitable allocation plan.

**Direct Costs.** A direct cost includes any costs that can be identified directly to a service.

**Direct Services.** Direct services are those functions that are associated with the provision of specific services for, or case management of, SACPA clients. Planned costs for direct services include direct costs, and indirect costs (excluding administrative activities defined below.) A direct cost includes any operating expenses, equipment costs and line organizational unit indirect costs which cannot practically be charged directly to a service.

**Indirect Costs.** An indirect cost includes any operating expenses; equipment costs and line organizational unit indirect costs which cannot practically be charged directly to a service.

**Entity Type.** The entity type to be entered here is the **county** entity (e.g., County AOD office, behavioral health agency, county executive office, county mental health, county office of education, courts, probation department, etc.) that administers funds for SACPA services.

For additional definitions pertaining to Part IV, see the SRIS User Manual, Appendix A (<http://www.adp.ca.gov/SACPA/SRISindex.shtml>).

### **ENTITY PLAN (Expenditures by Entity)**

#### **1. ENTITY TYPE: Drug Treatment**

Review Note: The entity type to be entered here is the county entity (e.g. County AOD Services) that receives and/or administers the funds for drug treatment. Treatment providers are not to be listed.

#### **2. ENTITY DATA: Drug Treatment Direct Services**

Review Note: If funding for treatment is less than 50%, OCJC will ask for additional information on how treatment is provided in the county.

#### **3. ENTITY DATA: Drug Treatment Administrative Activities**

Review Note: OCJC review will determine the percentage of total planned expenditures for treatment allocated to “Administrative Activities.” If the total is more than 20% of all drug treatment funds, OCJC will ask for additional information on how treatment is administered in the county.

#### **4. ENTITY TYPE: Other Services**

Review Note: The entity types to be entered here are those county entities that provide additional services (e.g. County Mental Health, County Office of Education, etc.).

5. ENTITY DATA: Other Services Direct Services

Review Note: The OCJC reviewer will look to see if planned expenditures for “Other Services” (e.g., County Office of Education, Social Services, Mental Health, Public Health) correspond with “Other Services” discussed in the narrative portion of the plan.

6. ENTITY DATA: Other Services Administrative Activities

Review Note: OCJC will determine the percentage of total planned expenditures for Other Services Administrative Activities. If the percentage is more than 20% of all Other Services funds, OCJC will request additional information about the county’s approach.

7. ENTITY TYPE: Criminal Justice Services

Review Note: The entities to be entered here are those which perform criminal justice functions, such as the courts, probation, etc. OCJC will determine whether the services listed under Criminal Justice correspond to those found in the narrative.

8. ENTITY DATA: Criminal Justice Direct Services

Review Note: OCJC will determine the percentage of total planned expenditures for criminal justice. If the percentage is 30% or more, the reviewer will ask for additional information about how the county provides criminal justice services.

9. ENTITY DATA: Criminal Justice Administrative Activities

Review Note: OCJC will determine the percentage of total planned expenditures for Criminal Justice Administrative Activities. If funding for “Administrative Activities “ is more than 20% of the “Criminal Justice” total, OCJC will request further information about how the county administers criminal justice activities.

10. ENTITY TYPE: SATTA (SB 223)

Review Note: Counties must enter the name of the entity(ies), e.g., drug treatment, probation, etc., that will expend SATTA funds and the planned expenditures. Enter the name of the entity(ies) that will expend the funds rather than the type of activity (e.g., “alcohol and drug office” instead of “drug testing”). The total must equal the county’s SATTA allocation. If no entity is identified, OCJC will contact the county. OCJC requires only that counties enter the total amount of planned expenditures for SATTA. At the county’s option, separate amounts may be entered for Direct Services and Administrative Activities.

## **SERVICE/ACTIVITY INFORMATION (Expenditures by Service/Activity)**

OCJC will review how planned expenditures are allocated to a particular column or category.

### **1. DRUG TREATMENT SERVICES PLANNED EXPENDITURES**

Review Note: OCJC will compare planned expenditures with the narrative description to determine that the funds correspond to service/activities identified in the narrative.

### **2. OTHER SERVICES PLANNED EXPENDITURES**

Review Note: OCJC will compare planned expenditures with the narrative description to determine that the funds correspond to service/activities identified in the narrative.

### **3. CASE MANAGEMENT ACTIVITIES PLANNED EXPENDITURES**

Review Note: OCJC will compare planned expenditures with the narrative description to determine that the funds correspond to service/activities identified in the narrative.

### **4. SATTA (SB 223) TOTAL PROJECTED SPENDING**

Review Note: Enter planned expenditures for drug testing of SACPA clients and for other purposes allowed under the federal Substance Abuse Prevention and Treatment block grant. The total should equal the county's SATTA allocation. OCJC will compare planned expenditures with the narrative description to determine that the funds correspond to service/activities identified in the narrative.

## **CLIENT PROJECTIONS**

Review Notes: OCJC will compare this plan to the previous year. If there are significant changes to client projections, OCJC will review the narrative to determine if there is an explanation of the differences in client projections. If there is no explanation, OCJC will contact the county for more information about the changes in projections.

### **1. CLIENT PROJECTION DATA: Parole Referrals and Court/Probation Referrals.** Enter an unduplicated client count.

Review Notes: The total should constitute total projected clients for the year.

2. CLIENT PROJECTION DATA: DRUG TREATMENT

Enter numbers of clients projected for each type of drug treatment service.

Review Notes: The totals typically will exceed the total number of projected referrals, as a single client may receive one or more types of drug treatment services. If the number is not greater than the total number of referrals, OCJC will contact the county for further information on how services are provided and reported.

3. CLIENT PROJECTION DATA: OTHER SERVICES

Enter numbers of clients projected for each service.

Review Notes: The total may exceed, or be less than, the total number of referrals. Some clients will not require other services, while other clients may require two or more.

4. CLIENT PROJECTION DATA: SATTA (SB 223)

Enter the total number of clients for whom the county expects to conduct drug testing using SATTA funds.

Review Notes: This should be an unduplicated client count. Also enter the total number of drug tests the county expects to conduct using SATTA funds. Typically, the number of tests will exceed the number of clients tested because many clients are tested multiple times.

## **CAPACITY PROJECTIONS**

Review Notes: Capacity is defined as the number of treatment slots available for SACPA services. OCJC will compare this capacity projection to the previous year. If there are significant changes to capacity projections, OCJC will check the narrative to determine if there is an explanation of the differences in capacity projections. If there is no explanation, OCJC will contact the county for more information.

1. CAPACITY PROJECTION DATA: DRUG TREATMENT

Enter the existing and planned additional capacity for each type of drug treatment service.

2. CAPACITY PROJECTION DATA: OTHER SERVICES

Enter the existing and planned additional capacity for each type of other service. Also list any additional ancillary services for which the county has, or plans to have, capacity to serve SACPA clients.

## PART V

### APPROVAL BY THE COUNTY BOARD OF SUPERVISORS

Provide a copy of the county board of supervisors resolution, minutes, order, motion, or ordinance approving this plan, or a copy of a written delegation of approval authority to the county lead agency from the county board of supervisors and documentation of the county lead agency's approval of the plan.

You may upload the required document(s) to SRIS using the Plan Description Files section. This is the same section used to upload the Narrative Description part of your plan. If the required documents are not available electronically, you may fax a copy to your ADP SACPA county liaison at (916) 327-7308.